

LPL Financial Holdings Inc.  
Form 8-K  
March 01, 2013

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UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION

Washington, DC 20549

FORM 8-K

CURRENT REPORT PURSUANT TO SECTION 13 OR 15(d) OF  
THE SECURITIES EXCHANGE ACT OF 1934

February 27, 2013  
Date of report (date of earliest event reported)

LPL Financial Holdings Inc.  
(Exact name of registrant as specified in its charter)

|                                                                    |                          |                                       |
|--------------------------------------------------------------------|--------------------------|---------------------------------------|
| Delaware                                                           | 001-34963                | 20-3717839                            |
| (State or other jurisdictions of<br>incorporation or organization) | (Commission File Number) | (I.R.S. Employer Identification Nos.) |

75 State Street  
Boston MA 02109  
(Address of principal executive offices) (Zip Code)

(617) 423-3644  
(Registrant's telephone number, including area code)

N/A  
(Former Name or Former Address, if Changed since Last Report)

Check the appropriate box below if the Form 8-K filing is intended to simultaneously satisfy the filing obligation of the registrants under any of the following provisions:

- ☐ Written communications pursuant to Rule 425 under the Securities Act (17 CFR 230.425)
- ☐ Soliciting material pursuant to Rule 14a-12 under the Exchange Act (17 CFR 240.14a-12)
- ☐ Pre-commencement communications pursuant to Rule 14d-2(b) under the Exchange Act (17 CFR 240.14d-2(b))
- ☐ Pre-commencement communications pursuant to Rule 13e-4(c) under the Exchange Act (17 CFR 240.13e-4(c))



Departure of Directors or Certain Officers; Election of Directors; Appointment of Certain Officers;  
Item 5.02 Compensatory Arrangements of Certain Officers.

(b) On February 27, 2013, LPL Financial Holdings Inc. (the “Company”) was notified by William E. Dwyer, III of his decision to leave the Company, effective March 29, 2013.

Effective March 1, 2013, Mr. Dwyer will cease serving as President, National Sales for LPL Financial LLC (“LPL Financial”), an indirect subsidiary of the Company. Also effective March 1, 2013, Robert J. Moore will serve as President, Advisor and Institution Solutions at LPL Financial. Mr. Moore will continue to serve as President of the Company.

Item 7.01 Regulation FD Disclosure.

A copy of the press release issued by the Company on March 1, 2013 regarding certain organization changes is furnished as Exhibit 99.1 to this Current Report on Form 8-K.

Item 9.01 Financial Statements and Exhibits.

(d) Exhibits.

99.1 Press Release dated March 1, 2013 ("LPL Financial Names Robert Moore to Expanded Role")

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SIGNATURE

Pursuant to the requirements of the Securities Exchange Act of 1934, the Registrant has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

LPL FINANCIAL HOLDINGS INC.

By:           /s/ Dan H. Arnold  
              Name: Dan H. Arnold  
              Title: Chief Financial Officer

Dated: March 1, 2013